# Department of Energy
Washington, DC 20585

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MEMORANDUM TO:      Heads of Departmental Elements

FROM:               Bruce M. Carnes
                    Director, Office of Management,
                    Budget and Evaluation/CFO

SUBJECT:            New Senior Executive Service Performance Management System
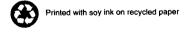                    Guidance

On August 8, 2001, Deputy Secretary Blake provided the framework for a new, results-oriented Senior Executive Service (SES) performance management system to be effected during the Fiscal Year 2002 Senior Executive Service (SES) performance appraisal cycle. In that memorandum, he indicated that the Office of Management, Budget and Evaluation would provide further written guidance on the new system, as well as, training activities to support effective implementation. Attached to this correspondence is the written guidance. Further guidance materials, as well as, briefing/training sessions for you and your staff will be forthcoming in the near future.

This new performance management system is effective immediately. At the earliest possible time, DOE organizations should begin establishing career SES performance plans for the remainder of the performance appraisal cycle (i.e., through September 30, 2002) in line with provisions of the new system. By establishing performance plans under this new system, all of your career executives will have clear performance expectations consistent with your organization's priorities and goals. Accordingly, all career SES members should be on plans consistent with this new system as soon as possible. To facilitate this effort, the attached guidance package contains specific information on establishing annual performance plans under the new system, along with all necessary forms.

The new SES performance management system focuses foremost on:

- linking performance plans and ratings to clearly defined, mission-related priorities, along with desired leadership attributes for all executives;

- placing emphasis on performance planning and continuous feedback throughout the performance cycle; and

- making meaningful distinctions among executives with regard to performance ratings and rewards that are tied to results achieved.

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FY 2002 SES Performance Management System Guidance:

The attached guidance includes instruction on each component of the performance appraisal and recognition process. This information is designed to assist the raters and their career SES employees to understand each phase of the appraisal process from the establishment of the executive's annual SES performance plan determining his or her summary rating. An appraisal form is attached to document these actions. Additionally, the guidance provides information on making recommendations for annual performance recognition, including bonuses and pay rate adjustments.

Also featured in the guidance is a section that outlines the requirements for recommending other forms of individual and group recognition throughout the performance cycle to reward unique, one-time occurrence achievements through awarding of Special Act or Service Awards. Finally, much like the appraisal cycle close-out guidance you are accustomed to receiving annually, the FY 2002 new performance management system guidance contains information on submission of annual performance recommendations.

Briefings/Training

Briefing and training sessions will be scheduled to ensure that SES members, along with administrative/human resources staff who are involved in the SES appraisal and/or recognition processes, are fully apprised of the new performance management system's key components. On-line training and other resources also will be available. Further, organizational briefings will be available upon request.

In closing, the Office of Management, Budget and Evaluation stands ready to provide support to your organization in implementing this important human capital initiative. We will keep you posted on future developments, including scheduling of the briefing/training activities. Should you have any questions about the guidance, please contact Debra Gibson at (202) 586-8451, and training, contact Dottie Van Steinburg at (202) 487-1678.

Attachments

cc: Francis S. Blake
    John A. Gordon
    Robert G. Card

## U.S. DEPARTMENT OF ENERGY

## NEW SENIOR EXECUTIVE SERVICE PERFORMANCE MANAGEMENT SYSTEM

## <u>GUIDANCE</u>

### <u>Background</u>

Noting improvements needed in the Department's current Senior Executive Service (SES) performance management system, on August 8, 2001, Deputy Secretary Blake announced that a new SES performance management system would be developed and instituted during the FY 2002 SES performance appraisal cycle. Critical to the new system is the emphasis placed on direct and clear linkages between organizational mission/program goals and individual career executive performance plans, along with improved performance planning, continuous monitoring and feedback in meeting desired results, and meaningful rewards and recognition for clearly exemplary performance.

The new SES performance management system also conforms with recently issued Office of Personnel Management (OPM) performance management system regulations intended to promote executive excellence and accountability through focusing on results; strengthening the links with strategic planning; and requiring agencies to balance organizational results, customer satisfaction, and employee perspectives in the performance evaluation of senior executives.

### I. ESTABLISHING THE ANNUAL PERFORMANCE PLAN

The performance plan established under the new system consists of two equally weighted critical elements: (1) Key Programmatic Accomplishments, and (2) Key Leadership Attributes. Each is described below:

### <u>Element I - Key Programmatic Accomplishments</u>:

This area of performance assessment focuses on the "critical few" program and mission-related activities in the executives's area of responsibility.

These objectives will be crafted by the senior executive and his/her manager. The objectives must be closely linked to the organization's mission and be operationalized in terms of expected outcomes/results, time frames, final products and services, etc.

Each key objective will be tracked and evaluated in a uniform manner with two primary focuses:
(1) how efficiently and effectively the senior executive executed or obtained the results, and
(2) results achieved (e.g., program improvements, outcomes, policy impacts).

## Element II - Key Leadership Attributes:

This critical element focuses on "how" the executive carries out his/her responsibilities relative to highly desirable leadership attributes that are expected of all Departmental SES members.

Each executive will be assessed against the 10 pre-defined leadership attributes briefly described below:

(1) **Demonstrates Functional Competence**: Maximizes personal productivity and effectiveness by ensuring that functional and professional skills are continually upgraded and utilized.

(2) **Exhibits Analytical Ability and Solves Problems**: Critically and thoroughly evaluates issues despite incomplete or ambiguous information; takes appropriate action to design pragmatic solutions.

(3) **Builds Diversity**: Promotes, develops, applies and evaluates approaches to achieving and maintaining workforce diversity and positive workforce relations within his/her organization.

(4) **Serves Customers and Builds Partnerships**: Treats internal and external customers and partners with care, consideration, and respect; seeks to understand their needs and exceeds their expectations.

(5) **Communicates Effectively**: Creates understanding and commitment to action by presenting ideas and facts–both orally and in writing–in a clear, concise manner, listens to others and checks for understanding; uses different forms of communication appropriately.

(6) **Innovates**: Improves results by actively generating, encouraging, and supporting new ideas or approaches.

(7) **Demonstrates Personal Leadership**: Demonstrates high levels of productivity and quality; accountability; consistently looks for new ways to apply skills and get work done; treats co-workers and customers with respect and dignity.

(8) **Creates Effective Operating Plans**: Develops and implements an operating plan with clear objectives and performance metrics that support the organization's direction/strategy. Holds staff accountable for performance results.

(9) **Builds Capability**: Recognizes the specific competencies or capabilities needed in

the workforce and hires, develops, and retains talent necessary to execute the vision and mission of the organization; promotes team building.

(10) **Coaches, Motivates, Develops and Mentors**: Conveys and instills in others a strong sense of energy, excitement, ownership, and personal investment in their work; gives people the opportunity and latitude to exercise authority and run their areas of responsibility; and actively coaches and mentors employees for assuming greater responsibilities and to develop their full potential.

*Actions Required for Establishing the SES Performance Plan*:

✓ Refer to the attached SES performance plan.

✓ For Element I - Key Programmatic Accomplishments, rating officials and senior executives are required to collaborate in the development of between 3 to 5 key performance objectives (i.e., the "critical few") to be accomplished during the appraisal cycle (see page 2 of the attached performance plan). These tasks are to be clearly stated with measurable outcomes and documented in the annual performance plan. Performance evaluation will be based on the criteria provided: (1) results achieved, and (2) how effectively and efficiently the SES executed or obtained the results. For Element II - Key Leadership Attributes, generic criteria for performance evaluation is provided for low to exemplary performance (see pages 3 - 11 of the attached performance plan).

✓ The rating official and executive sign the performance plan certifying that the objectives for the upcoming rating cycle have been discussed and are contained in the SES performance plan.

## II. RATING LEVELS

The new performance management system adds an additional rating level (for SES performance appraisal. The new four level summary rating system is as follows:

- **Exceeds Expectations (O)**: (New) Clearly exceeds performance expectations. A model executive who sets an example for others, while consistently making outstanding contributions to the Department. This rating level is reserved for top performing DOE executives.

- **Meets Expectations (ME)**: Consistently meets performance requirements. A solid performer.

- **Needs Improvement (NI)**: Occasionally does not meet performance requirements.

- **Fails to Meet (U)**: Regularly does not follow-through with meeting performance requirements. Job performance is below an acceptable standard and corrective

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action is required.

## III.  PROGRESS REVIEWS

At least one progress review is to be conducted and documented by the rating official during the annual performance appraisal cycle (i.e., typically at midpoint - April 30).  More than one progress review is encouraged in assessing all career executives serving probationary periods, and with post-probationers whose performance reflects a need for improvement.  The format prescribed in the attached performance plan will be used to document progress reviews.

*Actions Required in Completing the Progress Review*

✓      The new SES performance management system is designed to promote ongoing communication between the executive and the rater, along with customers to facilitate performance excellence.

✓      The rater will conduct a formal progress review with the executive to discuss progress achieved in relation to the established performance elements and requirements, and performance-related feedback received.

✓      If deficiencies are noted, the rater will advise the executive of such and determine what training or other assistance is needed in support of improved performance with a goal of obtaining an annual rating of at least Meets Expectations (ME).

✓      The rater will discuss with the executive and document any changes to performance objectives, elements and/or performance requirements.

✓      Both the rater and executive will certify the Progress Review form of the performance management plan, documenting the completion of the progress review.

## IV.  PEER FEEDBACK (Optional for FY 2002)

To facilitate performance excellence, Secretarial Officers may choose to require that peer assessments or other forms of 360-Degree Feedback be conducted on executives in their organizations.  This is a collaborative effort between the executive and his or her supervisor, which can be conducted anytime during the appraisal cycle.  The assessment will focus on the attributes contained in Element II (Key Leadership Attributes) and seeks honest feedback relative to the executive's performance.  A form, "Key Leadership Attributes", for conducting the peer assessment is attached.  The results are for performance improvement and employee development purposes only and will not be used in determining a performance rating.

After all the forms have been collected or electronically sent to a central location, the results (without the sender's names) should be consolidated, with copies given to the executive and the

executive's supervisor.

## V.  PERFORMANCE APPRAISAL AND RATINGS

The minimum SES appraisal period is 90 calendar days.  The annual appraisal period is October 1 through September 30 of the following year, which coincides with the fiscal year (FY).

At the end of the appraisal period, the rating official will assess the performance of the executive based on comparison of the employee's performance with the criteria outlined in the performance management plan and performance feedback received from customers and other applicable sources throughout the appraisal period.

A statement of written accomplishments, not to exceed three pages, is a requirement for all executives being rated and must be submitted to the rating official prior to the initial summary rating being documented by the supervisor.  The written statement of accomplishments should address results achieved in terms of key performance objectives and leadership attributes related to the critical elements.

### *Actions Required for Evaluating Annual Performance*

✓   Annual performance evaluations are required to be completed within three weeks of the end of the SES rating cycle (i.e., by October 20).

✓   The rater will review the executive's performance plan starting at Element I (Key Programmatic Accomplishments) and assess each objective, taking into consideration the executive's performance in line with his/her written accomplishments, personal observations, customer feedback, and other information received.

✓   Refer to the Annual Summary Rating page of the performance plan and assign a rating for each objective.  A space is provided for comments (i.e., significant accomplishments and deficiencies).  All objectives rated below the Meets Expectations level must be justified.

✓   After assessing Element I and documenting a rating for each objective, assign an overall rating for Element I in accordance with the following criteria:

•   **Element I - Key Programmatic Accomplishments**

**Exceeds Expectations (O)**: All objectives are rated at Exceeds Expectations.

**Meets Expectations (ME)**: At least two objectives are rated at Meets Expectations or higher, no more than one objective is Needs Improvement, and no objectives are rated Fails to Meet.

**Needs Improvement (NI):** Two or more of objectives are rated at Needs Improvement.

**Fails to Meet (U):** One or more of the objectives is rated at Fails to Meet.

✓ Document the resultant rating for Element I at the space provided on the Annual Summary Rating page. Continue to Element II (Key Leadership Attributes).

✓ In assessing performance related to each attribute for Element II, refer to the respective page in the performance plan. Document your recommendations for each on the Annual Summary page. After assessing each attribute and documenting a rating, assign an overall rating for Element II in accordance with the following criteria:

- **Element II - Key Leadership Attributes**

    **Exceeds Expectations (O):** All attributes are rated at Excellent or Outstanding performance levels.

    **Meets Expectations (ME):** The ratings for the attributes are a combination of Mixed Performance, Solid, Excellent and Outstanding performance levels. No more than three ratings are Mixed.

    **Needs Improvement (NI):** A majority of the attributes are rated at either the Mixed Performance, Low, or Fails to Meet performance levels. No more than two ratings are Low.

    **Fails to Meet (U):** Three or more attributes are rated at the Low performance level.

✓ Instructions for determining the **"Initial Summary Rating"** based on your assessment of the two critical elements: (I) Key Programmatic Accomplishments, and (II) Key Leadership Attributes, are provided below:

    **Exceeds Expectations (O):** Both critical elements are rated at the Exceeds Expectations level.

    **Meets Expectations (ME):** One or both critical elements are rated at the Meets Expectations level. No critical element is rated below the Meets Expectation level.

    **Needs Improvement (NI):** One or both critical elements are rated at the Needs Improvement level.

**Fails to Meet (U)**: One or both critical elements is rated at the Fails to Meet level.

✓ The rating official documents his/her initial summary rating at the space provided on the Annual Summary and Signatory Approvals page of the performance plan, and signs.

✓ The rater establishes and meets with the higher-level reviewing official to discuss his/her rating determination. The higher-level rating official may concur or nonconcur with the rating official's recommendation by checking the box at the space provided on the signatory page of the performance plan; however, he or she is prohibited from changing the initial summary rating. In instances of nonconcurrence, the higher-level reviewing official is required to provide a written justification supporting his or her determination. This information is documented in the SES performance plan and becomes part of the official SES performance appraisal package.

✓ The rating official holds a formal appraisal meeting with the executive, discussing his or her rationale for the proposed rating, and as appropriate, training and other assistance to improve the executive's performance during the upcoming rating cycle. The executive signs the performance plan indicating that the appraisal meeting was held and he/she was advised of the proposed rating. The executive may provide written comments regarding the "Initial Summary Rating" and this information becomes a part of the official SES performance appraisal package. Upon conclusion of the annual rating discussion, the rater also may choose to discuss the following year's objectives and expectations.

## VI. LINKING ANNUAL PERFORMANCE TO RECOGNITION

Performance Bonuses

Only career SES members are eligible for performance bonuses.

Requirements for bonus consideration include a minimum initial summary rating of "Meets Expectations," and clearly documented significant achievements/measurable results (e.g., significant innovations in program delivery; major recognized improvement/cost-savings/cycle time reduction in program or mission-related products; notable achievements in customer service/partnerships). Also, as determined appropriate by the Secretary/Deputy Secretary, additional bonus criteria may be added annually and published prior to the end of the performance appraisal cycle.

Bonus recognition will be reserved for truly top performers. In line with Departmental policy, nomination of executives with summary ratings of "Meets Expectations" is discretionary. Bonus nomination of executives with summary ratings of "Exceeds Expectations" is required.

Permissible bonus recommendations based on the summary rating are as follows:

--Bonuses for executives rated ME: 5%
--Bonuses for executives rated O:    Between 10% to 20%

There will be one Departmental bonus pool (up to 10% of the career SES base salaries as of September 30) for bonus determination as established by the Secretary/Deputy Secretary. The NNSA Administrator, through delegated approval, may recommend to the Secretary/Deputy Secretary a percentage of the Departmental bonus pool to be used in recognition of NNSA career executives.

Written bonus nominations with recommended bonus percentages will be submitted in rank order from the Secretarial Officers through the Performance Review Board to the Secretary/Deputy Secretary for final determination. A completed "SES Bonus Nomination Form" will be required to accompany each bonus nomination justification.

Pay Rate Adjustments

Within the parameters of the Department's established SES Pay Level Policy, dated August 1995, performance-based pay rate adjustment nominations may be recommended in recognition of annual performance for SES members. Factored into the process are considerations such as performance history and current performance, official duties and responsibilities, unique qualifications required of the executive, scarcity of qualified personnel, and organizational level of the executive's position. Permissible pay rate increase nominations are normally one level annually, to the maximum pay level prescribed in the SES Pay Level Policy (see attached).

A written justification must be provided for recommendations for pay rate adjustments exceeding the maximum level described in the SES Pay policy or for multiple ES levels. Recommendations are to be documented on the prescribed "SES Pay Rate Adjustment Nomination Form"(see attached).

Other Individual or Group Recognition

A Special Act or Service Award, Time-Off Award, or honorary award may be granted to an SES member in recognition of his/her accomplishments in leading or substantially participating in a one-time, nonrecurring assignment/project of major value to the Department. In line with Departmental policy, monetary awards up to $7,500 may be approved by their respective Secretarial Officers for career and non-political Limited-Term SES members anytime during the annual rating cycle. However, duplicate recognition through a monetary award and a bonus for the same assignment/project is not permissible. The Secretary of Energy or his designee may grant individual monetary awards up to $10,000.

All SES award nominations are to be forwarded through the organizational chain to the Secretarial Officer for approval (e.g., NNSA headquarters and reporting field offices to the Administrator, NNSA), followed by submission to the Executive and Technical Resources Division, ME-531, for regulatory review prior to effecting the action.

## VII. SUBMISSION OF FY 2002 ANNUAL PERFORMANCE RECOMMENDATIONS

All completed 2002 SES performance documentation for Performance Review Board (PRB) review is due to the Executive and Technical Resources Division, ME-531, Room 4E-084, by October 31, 2002. All SES performance documentation requiring rating and/or review by the Deputy Secretary or Under Secretary for Energy, Science and Environment must be submitted to ME-531 by October 24, 2002.

### Requirements for Non-NNSA Field Operations Offices

All SES annual performance recommendations for non-NNSA Field Operations Offices which report to Lead Principal Secretarial Officers (LPSOs) are to be submitted to the respective LPSO for review and concurrence. Subsequently, the LPSO will forward a consolidated package of performance recommendations to ME-351 by October 31, 2002. Primary Headquarters administrative liaisons are:

| | | |
|---|---|---|
| EE | Linda Whitted | (202) 586-2555 |
| EM | Kathy Keating | (202) 586-8782 |
| FE | Jean Lerch | (202) 586-7320 |
| SC | Myrna Vallette | (301) 903-3444 |

### Requirements for the National Nuclear Security Administration (NNSA) and Reporting Field Operations Offices

Consistent with the March 2000 establishment of the National Nuclear Security Administration (NNSA), all SES annual performance recommendations for executives previously assigned to the Office of Defense Programs (DP) (including the Albuquerque (AL), Nevada (NV) and Oakland (OO) Operations Offices), Office of Nonproliferation and National Security (NN), and Office of Naval Reactors (NR) are to be submitted through the respective NNSA Deputy Administrator to the NNSA Administrator for pre-approval. Subsequently, the NNSA Administrator will forward a consolidated package reflective of all concurred on NNSA performance recommendations to ME-531 by October 31, 2002, for submission to the Performance Review Board (PRB) for assessment and recommendation to the Secretary for decision. The primary NNSA administrative liaisons are:

| | |
|---|---|
| Michael Kane | (202) 586-5753 |
| Raymond Greenberg | (301) 903-6802 |

## Role of the Performance Review Board

The Performance Review Board (PRB) will assess each organization's annual SES performance rating recommendations as well as other related recommendations as requested by the Secretary or Deputy Secretary. Final PRB recommendations will be presented to the Deputy Secretary or his designee for decision.

## Performance Appraisals

All completed FY 2002 SES performance appraisals must be submitted on the Department's established SES Performance Appraisal Form (revised September 2001). All SES members who were assigned to performance standards for at least 90 days prior to the end of the 2002 performance cycle (i.e., by July 3, 2002) are required by law to be rated.

## VII. ANNUAL PERFORMANCE DECISIONS

In accordance with the Secretary's delegation of authority granted to the Deputy Secretary on September 28, 2001, all SES annual performance decisions will be made by the Deputy Secretary of Energy.

# U.S. DEPARTMENT OF ENERGY

## SENIOR EXECUTIVE SERVICE PERFORMANCE APPRAISAL

Name _____ Title _____

Organization _____ Duty Station_____

Performance Rating Period: From _____ To _____

### PERFORMANCE AGREEMENT CERTIFICATION:

This is to verify that we have met, discussed, and understand expectations for the established performance appraisal period.

_____ _____ _____ _____

Rating Official's Signature        Date        Executive's Signature        Date

## PRIVACY ACT STATEMENT

## ELEMENT I B KEY PROGRAMMATIC ACCOMPLISHMENT

**Instructions: At the beginning of the performance cycle, identify your key performance priorities.   Be as specific and measurable as possible, and indicate completion dates.  Throughout the performance cycle, track your progress and accomplishments and modify your performance priorities as necessary.**

**Keep in mind that all key objectives should be SMART:**

| | |
|---|---|
| **Specific:** | **Your goal should be focused and include enough detail so there is no confusion around what exactly you area trying to accomplish.** |
| **Measurable:** | **Your goal should be such that when you are through you have tangible evidence of your accomplishment.** |
| **Acceptable:** | **Your goal should be set by you and agreed upon by your manager.** |
| **Realistic:** | **Set your goals that are achievable.** |
| **Timely:** | **Indicate when you plan to achieve your goal.** |

| KEY OBJECTIVES | EFFECTIVENESS AND EFFICIENCY MEASURES **(i.e., specific expected outcomes, performance goals, program improvements such as cost reductions, improved timeliness, output measures, etc.)** | EXECUTION TARGETS **(i.e., timeframes, completion dates implementation strategies, etc.)** | RESULTS ACHIEVED **(i.e., actual outcomes, impacts, program improvements, etc.)** |
|---|---|---|---|
| 1) | | | |
| 2) | | | |
| 3) | | | |
| 4) | | | |
| 5) | | | |

**1. Demonstrates Functional Competence:** Maximizes personal productivity and effectiveness by ensuring that functional and professional skills are continually upgraded and utilized.

|  | Mixed Performance | Excellent Performance |
| --- | --- | --- |
| Low Performance | Solid Performance | Outstanding Performance |

| | | |
| --- | --- | --- |
| Does not strive to achieve high levels of productivity or quality B Agets by@ | Demonstrates expertise in his/her functional area, leveraging unique core of knowledge and skills to achieve results | Proactively applies expertise in ways that add significant value for customers, partners, and DOE |
| Has difficulty estimating skill level, often taking assignments that either are too easy and under-utilize expertise, or are too challenging and result in inefficient use of time and energy | Seeks assignments that make good use of expertise, engaging in an appropriate mix of challenging and comfortable assignments | Suggests ways to further expand responsibilities, while still fulfilling all current job requirements |
| Tends not to keep up-to-date with the appropriate level of expertise in his/her functional area | Delivers high levels of productivity and quality | Consistently demonstrates growth in breadth and depth of knowledge and skills, even when faced with heavy workload |
| Postpones skill development, placing learning and development low in priority | Is open to new approaches and takes steps to increase knowledge and skills | Seeks and adapts state-of-the-art approaches and practices, both from within and outside DOE, to the clear benefit of the organization |
| Is uncomfortable acting as a resource to others within area of expertise, even when asked | Keeps up-to-date in areas of expertise | Serves as an active resource for others, mentoring others in area(s) of expertise |
| Needs prompting to seek out manager to discuss concerns about area of expertise | Responds positively to requests for assistance in area of expertise, actively passing on expertise to others | |
| | Seeks input from manager/others about how to add to/improve in area of expertise | |

**2. Exhibits Analytical Ability and Solves Problems:** Critically and thoroughly evaluates issues despite incomplete or ambiguous information; takes appropriate action to design pragmatic solutions.

| Low Performance | Mixed Performance | Excellent Performance |
| --- | --- | --- |
| | Solid Performance | Outstanding Performance |

| Low Performance | Solid Performance | Outstanding Performance |
| --- | --- | --- |
| May not recognize a problem exists until pointed in the right direction | Breaks moderately difficult problems into their components for resolution | Breaks complex problems into manageable parts, identifying symptoms and causes |
| Tends to be passive, taking the approach that the problem will take care of itself | Gathers and effectively analyzes multiple data sources to determine root cause of problems | Obtains and analyzes all available data from several sources, and arrives at logical conclusions |
| Often shows lack of clarity in thought process (e.g., not considering links among aspects of a problem) | Communicates and shares effective problem solving processes | Recognizes the gaps in available data and suggests other ways to obtain the needed information |
| May neglect to use available data to identify and analyze problems | Generates alternative solutions and seeks input from others | Makes decisions based on the total picture, rather than relying on optimizing based on a single solution |
| Tends to fall back on Astandard@ solutions without support | Typically foresees the consequences of a suggested course of action | Anticipates obstacles and thinks ahead to next steps, reliably predicting consequences of potential courses of action |
| Mistakes the symptoms for the problem | Consistently shares thoughts and supports recommendations with sound rationale | |
| Tends to focus on one aspect of a problem to the exclusion of others, or focuses more on what can=t be done than on finding a solution | Makes sound decisions in the face of ambiguity and uncertainty | Is skillful at involving others in a way that creates ownership of the problem and a sense of urgency about implementing the solution |
| May not consider the impact of suggested solutions, and is unprepared if an action taken has unintended consequences | Appropriately escalates problems or resource issues for resolution | Fosters an environment that encourages dissenting opinions/input |
| Tends not to share the reasoning for suggested solutions | | |

**30 Builds Diversity**: Promotes, develops, applies and evaluates approaches to achieving and maintaining workforce diversity and positive workforce relations within his/her organization.

| | Mixed Performance | Excellent Performance |
| --- | --- | --- |
| **Low Performance** | **Solid Performance** | **Outstanding Performance** |

| | | |
| --- | --- | --- |
| Has difficulty communicating the strategic vision, DOE goals, and/or organizational unit goals as they relate to the group | Values cultural diversity and other differences and demonstrates this by articulating a clear purpose and direction for the organization as well as communicates priorities to remain focused on key initiatives | Identifies successors and bench strength for key positions **B** anticipating and developing long-term staffing strategies to achieve business goals given future skill requirements |
| Demonstrates lack of personal commitment to the vision, goal, or job | Demonstrates effective leadership and direction by using merit principles to ensure fairness in recruitment, selection, hiring, appraisal, promotion, training, and reward efforts resulting in highly qualified, diverse pools of candidates for job vacancies leading to a competent staff | Ensures that the group selects and retains people who consistently achieve results that exceed expectations |
| Builds an organization structure based on personalities or other considerations unrelated to fulfillment of the operating plan | | Actively considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations |
| Has difficulty thinking creatively about ways to meeting staffing requirements within budget (e.g., doesn≡t value.) | Identifies areas of under-representation of women, minorities, and persons with disabilities and takes affirmative actions to address workforce imbalances using necessary tools and opportunities to achieve success | Actively builds team spirit and brings people together, creating an atmosphere of accountability and pride in work |
| Makes statements/takes actions that show poor understanding of the relative competitive position of the organization | | Actively encourages team to take on leadership responsibilities, providing them with the autonomy and freedom to accomplish breakthrough results on their own |
| Focuses vast majority of time and energy internally without attention to building external information networks that inform the business strategy | Ensures that his/her team is selecting the very best talent, that trained team members participate in candidate evaluation and selection decisions, and that he/she monitors progress in achieving a representative workforce, and personally intervenes to assure goals are addressed and accomplishments enhanced | Fosters an environment in which the leader is not the only one to recognize accomplishments |
| Indicates preferences for working with some team members over others | | Personally acts and influences others to move successfully into new areas, systems, and/or services |
| Has trouble accepting input from others or providing constructive suggestions for change or improvement | Provides employees with meaningful career planning and development opportunities, advocates skills and training needs assessments, and the development of individual development plans consistent with mission priorities and workforce goals | Consistently expands external people networks and plays a leadership role in specialty/area of expertise |
| Jumps to conclusions without considering the whole picture | | |

**(continued)  3. Builds Diversity**: Promotes, develops, applies and evaluates approaches to achieving and maintaining workforce diversity and positive workforce relations within his/her organization.

| Low Performance | Mixed Performance / Solid Performance | Excellent Performance / Outstanding Performance |
|---|---|---|
| Has difficulty distinguishing important from trivial information | Fosters an environment where people can work together cooperatively and effectively to achieve organizational goals and openly addresses conflict, disagreements, and differences in perspective **B** and achieves productive resolutions | Drives hard on the right issues |
| Has difficulty maintaining a positive perspective under changing circumstances | | Demonstrates flexibility when interacting with others |
| Places low priority on building relationships or networks of contacts with those who can help achieve work-related goals | Treats employees fairly and honestly when dealing with disagreements and workforce disputes using alternative dispute resolution techniques and other means to resolve disputes | Always willing to pitch in and help, and encourages others to do the same |
| Tends to be unwilling to compromise or negotiate | Demonstrates genuine concern and respect for direct reports and co-workers, conveys confidence in others ability and desire to do their best, considers and responds to the needs, feelings, and capabilities of others; works constructively with others regardless of differences in style or interests, and is respectful and supportive of others ideas and concerns | Nurtures key relationships |
| Has a hard time understanding or incorporating others perspectives **B** sticking too strongly to personal positions to the exclusion of others points of view | | Knows when to stand firm and when to compromise based on specific circumstances |
| | | Champions initiatives even when faced with resistance |
| | Proactively develops positive business relationships and support for objectives, develops and maintains people networks inside and outside of DOE **B** specifically addressing information to the benefit (or deficit) of the organization | |

**4. Customer Service & Partnerships:** Treats internal and external customers and partners with care, consideration, and respect; seeks to understand their needs and exceeds their expectations.

| Low Performance | Mixed Performance / Solid Performance | Excellent Performance / Outstanding Performance |
|---|---|---|
| Appears uncertain of customers= or partners= needs or priorities | Understands customers= or partners= needs and priorities B putting their interests at the center of what is to be accomplished | Proactively solicits information about customers= and partners= needs and priorities |
| May agree to unrealistic commitments | Secures commitments that are realistic and attainable, and keeps them B delivering on time with quality | Responds creatively to customers= or partners= requests for change, probing in-depth and offering insightful solutions |
| Often forces the choice between sacrificing quality or service in the face of problems or difficulties | Responds quickly to customer/partner concerns and requests, reacting constructively to changes in needs and priorities | Identifies key trends that will have a positive impact on the services provided |
| Experiences frustration when faced with changing customer or partner needs and priorities | | |
| Does not recognize the impact of careless remarks about customers/partners | Consistently helps customers and partners overcome problems or difficulties | Insists on win-win solutions when dealing with customers/partners |
| May have difficulty maintaining composure and objectivity when encountering challenging customer interactions | Keeps customers and partners up-to-date on progress | Avoids sacrificing quality or service in the face of serious problems or difficulties |
| | Demonstrates respect for customers and partners, maintaining composure and objectivity in challenging situations | Goes the extra mile to help customers or partners overcome complex problems or difficulties |
| Rarely solicits feedback on the quality of service delivered, assuming everything is fine unless notified otherwise | Solicits feedback on the quality of service provided and takes corrective action, seeking help if needed | Mentors others in developing exemplary customer/partner interaction skills and in managing difficult situations |

**5. Communicates Effectively:** Creates understanding and commitment to action by presenting ideas and facts B both orally and in writing B in a clear, concise manner; listens to others and checks for understanding; uses different forms of communication appropriately.

| Low Performance | Mixed Performance<br>Solid Performance | Excellent Performance<br>Outstanding Performance |
|---|---|---|
| Often has difficulty presenting ideas and issues or responding to questions clearly or concisely B orally or in writing | Presents his/her positions in a concise and convincing manner B orally and in writing | Articulately expresses ideas and issues, even in stressful or unexpected situations |
| Written materials often require revision to correct omissions, structural problems, or spelling/grammatical errors | Generates written materials that only occasionally require limited revision | Generates written materials that set a standard for others to follow |
| Tends not to think through the wording and tone of communication, sometimes producing negative reactions | Uses professional wording and tone | Provides insightful feedback and improves others skills in written and oral communication |
| Requires prompting to listen to others viewpoints or to ask clarifying questions | Attends to others non-verbal messages, and manages own body language | Customizes communication style and level of detail to the audience, adeptly handling both the details presented and overall tone |
| May sound defensive or confrontational when trying to support own positions | Listens to others viewpoints and seeks to clarify for understanding | Actively solicits others viewpoints and takes responsibility for ensuring two-way exchange B even in stressful situations |
| Needs guidance in the type of communication appropriate to the situation (e.g., may use e-mail to avoid difficult situations) | Is able to successfully support own positions in a non-confrontational manner | Maintains composure when challenged on his/her position, even when others are confrontational |
| | Uses communication methods (e.g., e-mail, voice mail, meetings) appropriate to the situation | Excels in facilitating understanding among participants when in a group setting |

**6. Innovates:** Improves results by generating, encouraging, and supporting new ideas or approaches.

| Low Performance | Mixed Performance<br>Solid Performance | Excellent Performance<br>Outstanding Performance |
|---|---|---|
| Seems hesitant either to generate or support new ideas or initiatives | Consistently generates creative ideas for systems, services, or work processes | Thinks Aoutside the box@ and encourages risk-taking |
| When new ideas are presented, tends to focus on why elements will not work | Explores and supports new ideas and initiatives | Anticipates obstacles, thinking ahead to next steps and clearly mapping optimum direction |
| Needs help understanding how new work fits into the bigger picture | Identifies areas for improvement within own area of expertise/job function | Involves and communicates well with affected parties, building confidence in the process and consensus around the new idea or initiative |
| Demonstrates greater sense of comfort with the status quo | Looks outside area of expertise to identify new ideas and initiatives | Identifies areas for improvement across areas of expertise/job functions, along with insightful solutions |
| Needs help thinking through potential roadblocks to achieving results | Creates an open environment for people to voice new ideas | Encourages dissenting opinions/input and incorporates diverse perspectives B continually challenging the status quo by asking Awhat if . . . ?@ |
| Proposes concepts hastily, without full consideration for real-world application | Takes prudent risks to create new value for customers | |

**7. Demonstrates Personal Leadership:** Demonstrates high levels of productivity and quality; accountability; consistently looks for new ways to apply skills and get work done; treats co-workers and customers with respect and dignity.

| Low Performance | Mixed Performance<br>Solid Performance | Excellent Performance<br>Outstanding Performance |
| --- | --- | --- |
| Requires a lot of supervision to produce results | Serves as a model for others in demonstrating high levels of productivity and quality B often producing results beyond what is expected | Always looking for new ways to achieve strong results through optimum use of combined skills and abilities |
| May not always follow through on commitments | | |
| Has difficulty adopting a Acan do@ attitude B tending to focus more on what cannot be achieved than how to get to results | Demonstrates accountability and integrity through consistency between words and actions | Goes the extra mile to keep commitments B and if unable to do so, proactively confers with affected parties to agree to solutions |
| Shows little respect for the ideas or work methods of others | Creates opportunities to apply skills without having to wait for direction | Conveys and stimulates optimism and faith in the future, even when faced with particularly difficult circumstances |
| Has difficulty establishing credibility due to lack of consistency or failing to fully disclose the facts involved in a situation | Respects and values people of diverse backgrounds | |
| | Remains optimistic and positive, even in the face of difficult circumstances | Exhibits conviction and determination in making and defending tough or unpopular decisions |
| Sometimes uses tone of voice, words, and/or body language that convey uncontrolled anger or blame (e.g., raised voice, disrespectful language, ridicule, etc.) | Demonstrates flexibility and resilience in response to constraints and adversity | Seeks out and positively addresses dissenting opinions |
| | Conveys a clear sense of personal and career goals, values, and interests | Proactively addresses issues with others in a supportive, constructive way |
| Handles crises in a way that may antagonize others or jeopardize working relationships | | |
| | Personally pursues learning and development, and opportunities that stretch and build capabilities | Is adept at handling crises in a way that builds confidence in DOE and strengthens internal and external working relationships |

**8. Creates Effective Operating Plans:** Develops and implements an operating plan with clear objectives and performance metrics that support the organization-s direction/strategy.  Holds staff accountable for performance results.

| Low Performance | Mixed Performance / Solid Performance | Excellent Performance / Outstanding Performance |
|---|---|---|
| Has difficulty formulating objectives, schedules, and priorities B easily losing focus or overall sense of priority | Develops aggressive operating plans that optimize time and resources | Involves the right people (e.g., background, level, organizational unit) at the appropriate stages of the planning process B gaining commitment and follow-through on objectives and timelines |
| Often does not anticipate issues that may disrupt plans and schedules | Demonstrates understanding of the roles of different organizational units in fulfilling the operating plan | Anticipates disruptions and develops and communicates contingency plans |
| Does not involve others sufficiently to ensure necessary coordination/collaboration | Involves the right people in the appropriate stages of the business planning process | Devotes time and effort to ensuring plans and goals are current |
| May not identify or accommodate changing priorities and re-plan | Anticipates and proactively addresses issues that may cause disruptions to the operating plan | Draws on experience to learn from past successes and mistakes and clearly applies lessons learned |
| Makes tactical decisions without considering DOE-s long-term strategic objectives | Identifies risks and develops contingency plans | Proactively manages risks |
| Typically does not give priority to developing measures or monitoring progress | Remains flexible and integrates changing priorities into existing plans | Proactively identifies, develops, and/or refines systems and procedures for improving planning accuracy and efficiency |
| Measures the wrong things B taking focus away from overall direction/strategy | Establishes challenging goals and adopts meaningful metrics for evaluating results | Identifies and utilizes key metrics to monitor and improve business performance |
| May not take action when performance does not meet the established standards | Monitors progress and adjusts the operating plan where necessary | Grasps the full meaning and interrelationships of key indicators, and can create meaningful action plans to resolve issues |
| Frequently operates in a crisis mode, putting excessive pressure on self and others to meet deadlines due to poor planning | | |

**9. Builds Capability:** Recognizes the specific competencies or capabilities needed and hires, develops, and retains the talent necessary to execute the vision and mission of the organization; promotes team building.

|  | Mixed Performance | Excellent Performance |
| --- | --- | --- |
| Low Performance | Solid Performance | Outstanding Performance |

| Low Performance | Solid Performance | Outstanding Performance |
| --- | --- | --- |
| Builds an organizational structure based on personalities or other considerations unrelated to fulfillment of the operating plan | Determines the organizational structure best suited to implementing and achieving the operating plan, reassessing periodically in light of changing needs and objectives | Anticipates and establishes competencies that will be required in the future, building capacity in time to meet the requirements |
| Has difficulty selecting and retaining individuals who are solid performers | Obtains and uses resources to achieve results | Is creative in obtaining and using resources, modeling and encouraging flexibility and thinking Aoutside the box@ |
| Under- or over-staffs | Benchmarks, sets standards, and develops measurements for productivity, quality, timeliness, etc. | Consistently makes a measurable and significant improvement in productivity, quality, timeliness, cost, etc. |
| Frequently goes to outside suppliers for expertise that is essential to the organization=s long-term success and that should be developed in-house | Identifies present and future competencies needed in the workforce | |
| Struggles in determining if the group has the resources necessary to function effectively | Exposes team to best practices among other groups | Creatively restructures to meet changing requirements to achieve greater productivity at less cost |
| Has difficulty thinking creatively about ways to meet staffing requirements within budget (e.g., doesn=t value cross-training) | Ensures that his/her organization is selecting the very best talent in the industry | Ensures that his/her organization selects and retains people who consistently achieve results |
| Restructures without overall thought to long-term impact on business results, or short-term impact on morale and productivity | Ensures trained team members participate in candidate evaluation and selection decisions | Identifies successors and bench strength for key positions B anticipating and developing long-term staffing strategies to achieve business goals given future skill requirements |
| Tends to make unilateral decisions about staffing | | |

**10. Coaches, Motivates, and Develops:** Conveys ands instills in others a strong sense of energy, excitement, ownership, and personal investment in their work; gives people the opportunity and latitude to exercise authority and run their areas of responsibility.

|  | Mixed Performance | Excellent Performance |  |
| --- | --- | --- | --- |
| Low Performance | Solid Performance | | Outstanding Performance |

| | | | |
| --- | --- | --- | --- |
| Does not regularly provide direction, or may fail to clearly communicate performance expectations | Provides direction and clearly communicates performance expectations, checking back to ensure understanding | | Defines roles and responsibilities in a way that optimizes individual and team performance |
| Demonstrates favoritism/lack of objectivity in applying standards, policies, rewards, and/or sanctions | Provides timely and constructive performance feedback on a regular basis, accurately appraising the strengths and weaknesses of direct reports | | Challenges individuals to capitalize on their strengths and experience growth |
| Frequently does not hold individuals accountable for their actions | | | Fosters an environment that encourages individuals to create experiences that will help them fulfill their long-term personal aspirations |
| Demonstrates little interest in coaching others to improve, preferring to focus on getting his/her own work accomplished B until Focal Point Review | Holds individuals responsible for their actions in a manner that is fair and objective | | |
| | Offers coaching suggestions on a regular basis to help team members improve, providing encouragement and support | | Encourages direct reports to coach one another, providing insight as to how to be an effective and inspirational coach |
| Tends not to recognize employees as individuals, using a Aone size fits all@ method to providing coaching and feedback | | | Acknowledges personal mistakes and applies lessons learned, modeling the significance of personal growth |
| | Remains calm and uses words and body language that encourage discussion and full exploration of the problem | | |
| May lose his/her temper with direct reports, or demonstrate non-verbally that he/she is not interested in what the individual has to say as a Adefense@ | Partners with team members to further career goals and interests | | Actively demonstrates concern for the well being of direct reports and appreciation for the efforts they are expending to improve/develop |
| Tends to avoid taking responsibility for personal mistakes or blames others for them | Fosters an environment of continuous learning and development | | |
| Implies that taking time for personal learning and development is not a priority (e.g., Athere=s too much work to be done) | | | |

Name: _____  Organization: _____  Rating Period: _____

| PROGRESS REVIEW |
|---|

Instructions: Discuss and provide comments on progress achieved and/or performance improvement needed in the below areas.  Consider ongoing priorities as well as project completed during the performance period to date.  Focus on the priorities, projects, and accomplishments you have been tracking and those that you have discussed with your manager throughout this rating period.

| KEY PROGRAMMATIC OBJECTIVES | COMMENTS ON PROGRESS |
|---|---|
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

| KEY LEADERSHIP ATTRIBUTES | COMMENTS ON PROGRESS |
|---|---|
| ) Demonstrates Functional Competence |  |
| ) Exhibits Analytical Ability and Solves Problems |  |
| ) Builds Diversity |  |
| )  Customer Service and Partnerships |  |
| ) Communicates Effectively |  |
| ) Innovates |  |
| ) Demonstrates Personal Leadership |  |
| ) Creates Effective Operating Plans |  |
| )  Builds Capability |  |
| 0) Coaches, Motivates and Develops |  |

Name: _____   Organization: _____   Rating Period: _____

_____ Performance, if continued, will result in at least a AMeets Expectations@ rating recommendation.  Comments concerning performance, including performance improvement needs, have been discussed with the executive.

_____ Performance, if continued, will result in less than a AMeets Expectations@ rating recommendation.  Specific performance deficiencies are documented in the performance plan and, as applicable, attached documentation.  Deficiencies have been discussed with the executive and timely assistance will be conducted at regular      internals throughout the remaining appraisal period.

_____ Performance expectations need updating.  Necessary changes have been discussed with the executive.

_____ No change in performance expectations since establishment of performance plan.


Rating Official=s Signature                    Executive=s Signature                           Date

Name_____Organization_____ Rating Period _____

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**Instructions:** Refer to current SES appraisal guidance for completion.

Exceeds Expectations (O):        Clearly exceeds performance expectations.  A model executive who sets an example for others, while consistently making outstanding contributions to the Department.  This rating level is reserved for top performing executives.

Meets Expectations (ME):        Consistently meets all performance requirements.  A solid performer.

Needs Improvement (NI): Occasionally does not meet performance requirements.

Fails to Meet (U):        Regularly does not follow-through with meeting performance requirements.  Job performance is below an acceptable standard and corrective action is required.

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| KEY PROGRAMMATIC OBJECTIVES | RATINGS | COMMENTS |
|---|---|---|
| 1) | | |
| 2) | | |
| 3) | | |
| 4) | | |
| 5) | | |

Element I Overall Rating: _____

Rater: _____     Date:_____
       Name (typed/print)

# ANNUAL SUMMARY RATING
## <u>ELEMENT II - KEY LEADERSHIP ATTRIBUTES</u>

**Instructions:** DOE believes that practicing the Key Leadership Attributes will enable executives to be successful.  Therefore, as part of the performance review, proficiency on DOE≤s key Leadership Attributes will be rated.  All DOE senior executive performance will be evaluated on the 10 attributes.

**TN = Too New to Rate: L = Low Performance; M = Mixed Performance; S = Solid Performance;**
**E = Excellent Performance; O = Outstanding Performance**
(Please refer to the attachment for rating definitions)

| **Name of Executive**: | **Supervisor Rating** | | | | | |
|---|---|---|---|---|---|---|
| | TN | L | M | S | E | O |
| 1. **Demonstrates Functional Competence** - Maximizes personal productivity and effectiveness by ensuring that functional and professional skills are continually upgraded and utilized. | | | | | | |
| 2. **Exhibits Analytical Ability and Solves Problems** - Critically and thoroughly evaluates issues despite incomplete or ambiguous information; takes appropriate action to design pragmatic solutions. | | | | | | |
| 3. **Builds Diversity** - Promotes, develops, applies and evaluates approaches to achieving and maintaining work force diversity and positive workforce relations within his/her organization. | | | | | | |
| 4. **Serves Customers and Builds Partnerships** - Treats internal and external customers and partners with care, consideration, and respect; seeks to understand their needs and exceeds their expectations. | | | | | | |
| 5. **Communicates Effectively** - Creates understanding and commitment to action by presenting ideas and facts - both orally and in writing - in a clear, concise manner; listens to others and checks for understanding; uses different forms of communication appropriately. | | | | | | |
| 6. **Innovates** - Improves results by actively generating, encouraging, and supporting new ideas or approaches. | | | | | | |
| 7. **Demonstrates Personal Leadership** - Demonstrates high levels of productivity and quality; accountability; consistently looks for new ways to apply skills and get work done; treats co-workers and customers with respect and dignity. | | | | | | |
| 8. **Creates Effective Operating Plans** - Develops and implements an operating plan with clear objectives and performance metrics that support the organization≤s direction/strategy. Holds staff accountable for performance results. | | | | | | |
| 9. **Builds Capability** - Recognizes the specific competencies or capabilities needed and hires, develops, and retains talent necessary to execute the vision and mission of the organization; promotes team building. | | | | | | |
| 10. **Coaches, Motivates, Develops and Mentors** - Conveys and instills in others a strong sense of energy, excitement, ownership, and personal investment in their work; gives people the opportunity and latitude to exercise authority and run their areas of responsibility. | | | | | | |

Element II Overall Rating: _____


Rater: _____    Date:_____
               Name (typed/prin

Name _____ Organization _____ Rating Period _____

| ANNUAL SUMMARY RATING AND SIGNATORY APPROVALS |
|---|

**1: INITIAL SUMMARY RATING**

A.      RATING OFFICIAL:

      CRITICAL ELEMENTS

| | SUMMARY RATING | | | |
|---|---|---|---|---|
| | O | ME | NI | U |
| 1.   KEY PROGRAMMATIC ACCOMPLISHMENTS | | | | |
| 2.   KEY LEADERSHIP ATTRIBUTES | | | | |
| INITIAL SUMMARY RATING (The recommended rating is based on the lowest common denominator of the Critical Elements (e.g. if one element is a "Needs Improvement" and the other is at "Meets Expectations" level, the overall rating is "Needs Improvement") | | | | |

  RATING OFFICIAL'S SIGNATURE: _____ DATE: _____

B. HIGHER LEVEL REVIEW:    Concur       Nonconcur  with Rating Official's recommendation for current rating cycle. (<u>NOTE</u>: In nonconcurrence, attach a written      justification explaining reasons)

  Higher Level Reviewer's Signature _____Date: _____

C.     <u>EXECUTIVE:</u>

I have reviewed and discussed this appraisal with my supervisor.  My signature does not necessarily imply that I agree with the appraisal recommendation. (Attach comments, as applicable)

Executive's Signature: _____ Date: _____

RESPONSE TO LOWER RATING RECOMMENDATION BY REVIEWING OFFICIAL:  (Attach comments as applicable)

Executive's Signature: _____ Date: _____

<u>STEP 2:  PERFORMANCE REVIEW BOARD (PRB) CHAIR:</u>    Concur     Nonconcur

Recommendation, if different from Rating Official: _____

  PRB Chair's Signature: _____Date: _____

<u>STEP 3: ANNUAL SUMMARY RATING</u>
Determination:    Exceeds Expectations         Meets Expectations         Needs Improvement      Fails to Meet

Signature: _____ Date: _____

      Secretary of Energy or Designee

# PEER FEEDBACK (OPTIONAL)

### Key Leadership Attributes

**Instructions:** DOE believes that practicing the Key Leadership Attributes will enable employees and managers to be successful. Therefore, in support of your peer=s continuous growth towards performance excellence, you are requested to provide honest feedback on his/her demonstrated leadership capabilities.  Please provide an assessment of each of the 10 AKey Leadership Attributes@ listed below in comparison with the prescribed rating criteria (see scale below and attached attribute descriptions).  Upon completion, please forward the form to the designated source for the executive=s supervisor=s consideration in conducting his/her annual evaluations and/or Progress Reviews.

**TN = Too New to Rate: L = Low Performance; M = Mixed Performance; S = Solid Performance;**
**E = Excellent Performance; O = Outstanding Performance**
(Please refer to the attachment for rating definitions)

| **Name of Executive**: | **Peer Rating** | | | | | |
|---|---|---|---|---|---|---|
| | TN | L | M | S | E | O |
| 1. **Demonstrates Functional Competence** - Maximizes personal productivity and effectiveness by ensuring that functional and professional skills are continually upgraded and utilized. | | | | | | |
| 2. **Exhibits Analytical Ability and Solves Problems** - Critically and thoroughly evaluates issues despite incomplete or ambiguous information; takes appropriate action to design pragmatic solutions. | | | | | | |
| 3. **Builds Diversity** - Promotes, develops, applies and evaluates approaches to achieving and maintaining work force diversity and positive workforce relations within his/her organization. | | | | | | |
| 4. **Serves Customers and Builds Partnerships** - Treats internal and external customers and partners with care, consideration, and respect; seeks to understand their needs and exceeds their expectations. | | | | | | |
| 5. **Communicates Effectively** - Creates understanding and commitment to action by presenting ideas and facts - both orally and in writing - in a clear, concise manner; listens to others and checks for understanding; uses different forms of communication appropriately. | | | | | | |
| 6. **Innovates** - Improves results by actively generating, encouraging, and supporting new ideas or approaches. | | | | | | |
| 7. **Demonstrates Personal Leadership** - Demonstrates high levels of productivity and quality; accountability; consistently looks for new ways to apply skills and get work done; treats co-workers and customers with respect and dignity. | | | | | | |
| 8. **Creates Effective Operating Plans** - Develops and implements an operating plan with clear objectives and performance metrics that support the organization=s direction/strategy. Holds staff accountable for performance results. | | | | | | |
| 9. **Builds Capability** - Recognizes the specific competencies or capabilities needed and hires, develops, and retains talent necessary to execute the vision and mission of the organization; promotes team building. | | | | | | |
| 10. **Coaches, Motivates, Develops and Mentors** - Conveys and instills in others a strong sense of energy, excitement, ownership, and personal investment in their work; gives people the opportunity and latitude to exercise authority and run their areas of responsibility. | | | | | | |

Overall Rating: _____

Peer Rater: (Optional) _____    Date:_____
                        Name (typed/print)